



(8 TRADEME)
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Ji-deog KIM, et al.

Art Unit: 2828

Serial No.

10/724,632

Examiner:

Filed:

December 2, 2003

Confirmation No. 2006

For:

PHOTONIC CRYSTAL-BASED RESONANT

CAVITY AND RESONATOR

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.56

Commissioner for Patents Alexandria, VA 22313-1450

Sir:

Submitted herewith on Form PTO/SB/08 (or PTO-1449, *modified*) is a listing of a document(s) known to applicant in order to comply with applicant's duty of disclosure pursuant to 37 C.F.R. §1.56.

☐ A copy of each listed document is being submitted to comply with the provisions of 37 C.F.R. §§1.97 & 1.98. [Box checked if applicable.]

A copy of each listed non-U.S. patent and/or patent publication and cited literature is being submitted to comply with the provisions of 37 C.F.R. §§1.97 & 1.98. Cited U.S. patents and patent publications are *not* attached in accordance with the waiver set forth in the Notice by the Deputy Commissioner for Patent Examination Policy dated July 11, 2003, applicable to applications having a U.S. filing date *after* June 30, 2003. [Box checked if applicable.]

* * *

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application. Applicant does not waive any rights to take any action that would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* prior art reference against the claims of the present application.

Where available, copies of English language patent family members of non-English patent documents have been provided. Such submission of English language patent family members is for the convenience of the Office and is not to be construed as an indication that such English language patent family members are literal translations of the non-English patents.

Applicant(s) expressly reserve their right to file verified English translations of the non-English

patent documents.

⋈	The li	sted do	cument(s)	1s/are	being	submitted	ın	compliance	with	37	C.F.R.
1.97(b)(3):	submissio	n before	the mailin	ig date	of the f	irst action	on th	e merits. [Bo	x checked	i if app	licable.]
	The fo	regoing	document	(s) cam	e to ap	plicant's a	ttent	ion during tl	ne pro	secut	tion of
their corresp	ponding K	orean ap	plication.	□ A c	opy of	the	S	Search Repor	t is als	o att	ached.
[Box(es) checked	d if applicable.]										
				anner	DIA . G						

CERTIFICATION

The undersigned hereby certifies in accordance with 37 CFR §1.97(e)(1) that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this Statement. [Box checked if applicable.]

* * *

Applicant respectfully requests that the listed document(s) be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

* * *

FEE PAYMENT

□ The fee mandated by 37 C.F.R. §1.17(p) is believed applicable. [Box checked if applicable.]
 □ Attached is Form PTO-2038 in payment of this fee (\$180.00). [Box checked if applicable.]
 □ This fee may be charged to Deposit Account No. 50-1645. (A duplicate copy of this paper is enclosed.) [Box checked if applicable.]

Respectfully submitted,

May 12, 2005

Date

Eugene M. Lee, Registration No. 32,039

Attorney Docket No. 277/023 Page 3 of 3

Serial No. 10/724,632 Information Disclosure Statement under 37 C.F.R. §1.56 filed January 25, 2005

LEE & MORSE, P.C. 1101 WILSON BOULEVARD, SUITE 2000 ARLINGTON, VA 22209 703.525.0978 TEL 703.525.4265 FAX

DEPOSIT ACCOUNT CHARGE AUTHORIZATION

If fee payment is enclosed, this amount is believed to be correct. However, the Director is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 50-1645.

Any additional fee(s) necessary to effect the proper and timely filing of the above-paper may also be charged to Deposit Account No. <u>50-1645</u>.

PTO/SB/08A (04-03)

Approved for use through 04/30/2003. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of Ses Inches sons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

Sheet 1

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete il Known				
Application Number	10/724,632			
Filing Date	December 2, 2003			
First Named Inventor	Ji-deog KIM, et al.			
Art Unit	2828			
Examiner Name				
Attorney Docket Number	277/023			

			U. S. PATENT	DOCUMENTS	
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ^{2 (# known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1	^{US-} 2001/0020373 A1	09-13-2001	BORRELLI, et al.	
		US-			

			IGN PATENT DOCU	MENTS		
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, t Where Relevant Passages	
		Country Code ³ Number ⁴ Kind Code ⁵ (<i>if known</i>)	MM-DD-YYYY		Or Relevant Figures Appear	Τ'
	ļ	.,				
				· · · · · · · · · · · · · · · · · · ·		┡
	-					L
	<u> </u>					╁
	 			<u> </u>		┢

Examiner	-	Date	
Signature		Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.